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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number Of Pages In This Submission

5

Application Number

10/032,180

Filing Date

December 21, 2001

First Named Inventor

Charles X.W. QIAN et al.

Group Art Unit

2633

Examiner Name

To Be Assigned

Attorney Docket No.

514152000100

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### ENCLOSURES (check all that apply)

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| <input type="checkbox"/> Fee Transmittal Form   | <input type="checkbox"/> Assignment Papers<br>(for an Application)                         | <input type="checkbox"/> After Allowance Communication to Group                                      |
| <input type="checkbox"/> Fee Attached   | <input type="checkbox"/> Drawing(s)  | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences                  |
| <input type="checkbox"/> Amendment / Reply  | <input type="checkbox"/> Licensing-related Papers  | <input type="checkbox"/> Appeal Communication to Group<br>(Appeal Notice, Brief, Reply Brief)        |
| <input type="checkbox"/> After Final  | <input type="checkbox"/> Petition  | <input type="checkbox"/> Proprietary Information   |
| <input type="checkbox"/> Affidavits/declarations  | <input type="checkbox"/> Petition to Convert to a Provisional Application                  | <input type="checkbox"/> Status Letter   |
| <input type="checkbox"/> Extension of Time Request  | <input type="checkbox"/> Power of Attorney, Revocation<br>Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):<br>- Return Postcard |
| <input type="checkbox"/> Express Abandonment Request  | <input type="checkbox"/> Terminal Disclaimer   |  |
| <input checked="" type="checkbox"/> Information Disclosure Statement incl.<br>PTO-1449 (4 Pages); and 16 references | <input type="checkbox"/> Request for Refund  |  |
| <input type="checkbox"/> Certified Copy of Priority Document(s)   | <input type="checkbox"/> CD, Number of CD(s) _____   |  |

Remarks

☐ Response to Missing Parts/  
Incomplete Application

☐ Response to Missing Parts  
under 37 CFR 1.52 or 1.53

### SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

Firm

Morrison & Foerster, LLP

or

425 Market St., San Francisco, California 94105-2482

Individual Name

Stephen C. Durant, Reg. No. 31,506

Signature

Date

April 22, 2002

### CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on April 22, 2002.

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sf-1291377



PATENT  
Docket No. 514152000100

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In the application of:

Ch. X. W. QIAN et al.

Serial No.: 10/032,180

Filing Date: December 21, 2001

For: SPECTRUM DIVISION  
MULTIPLEXING FOR HIGH  
CHANNEL COUNT OPTICAL  
NETWORKS

Examiner: To Be Assigned

Group Art Unit: 2633

**INFORMATION DISCLOSURE  
STATEMENT UNDER 37 C.F.R. § 1.97**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

This Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
  - ☐ A fee is required. A check in the amount of \* is enclosed.
  - ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly, no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a check in the amount of \* is enclosed.
  - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Information Disclosure Statement under 37 C.F.R. § 1.97 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

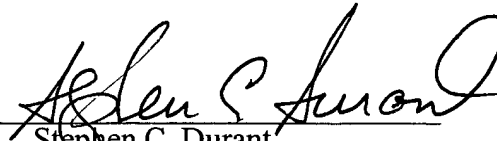
In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, applicant petitions for any required relief including extensions of time and authorizes the Assistant Commissioner to

charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing 514152000100. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: April 22, 2002

Respectfully submitted,

By:



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Registration No. 31,506

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Form PTO-1449

INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION

(Use several sheets if necessary)

Docket Number 514152000100

Application Number 10/032,180

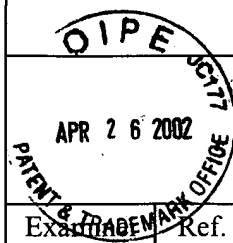
Applicant

Ch. X. W. QIAN et al.

Filing Date December 21, 2001

Group Art Unit 2633

Mailing Date April 22, 2002



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## U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
	1.	12/22/1998	5,852,505 •	Li			
	2.	3/21/2000	6,040,932 •	Duck et al.			
	3.	9/26/2000	6,125,220 •	Copner et al.			
	4.	10/10/2000	6,130,971 •	Cao			
	5.	1/2/2001	6,169,604 •	Cao			
	6.	1/2/2001	6,169,626 B1 •	Chen et al.			
	7.	3/20/2001	6,205,270 B1 •	Cao			
	8.	3/27/2001	6,208,444 B1 •	Wong et al.			
	9.	4/24/2001	6,222,958 B1 •	Paian			
	10.	8/14/2001	6,275,322 B1 •	Tai			
	11.	12/16/2000	09/738,904 •	Ch. X. W. Qian et al.			
	12.	3/2/2001	09/796,565 •	Ch. X. W. Qian			

## FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO
	13.	1/4/2001	WO 01/01585 A2 •	PCT			

## OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

Examiner Initials	Ref. No.	Title
	14.	B. B. Dingel et al., "Multifunction optical filter with a Michelson-Gires-Tournois interferometer for wavelength-division-multiplexed network system applications", Optics letters, vol. 23, no. 14, 7/15/98, pp. 1099-1101. •
	15.	A. P. Kovacs et al., "Group-delay measurement on laser mirrors by spectrally resolved white-light interferometry", Optics letters, vol. 20, no. 7, 4/1/95, pp. 788-790. •
	16.	H. van de Stadt et al., "Multimirror Fabry-Perot interferometers", Opt. Soc. Am. vol. 2, no. 8, Aug. 85, pp. 1363-1370. •

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.